

INFORMATION TECHNOLOGY:
Treasury's Efforts To Implement An Integrated
Document Management System

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The Department of the Treasury

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Abbreviations

ASM/CIO	Assistant Secretary for Management and Chief Information Officer
ATF	Bureau of Alcohol, Tobacco and Firearms
BEP	Bureau of Engraving and Printing
BPD	Bureau of the Public Debt
CAD	Computer-Aided Design
CDFI	Community Development Financial Institutions Fund
CIO	Chief Information Officer
Customs	U.S. Customs Service
DO	Departmental Offices
DoD	Department of Defense
FinCEN	Financial Crimes Enforcement Network
FLETC	Federal Law Enforcement Training Center
FMS	Financial Management Service
FRC	Federal Records Center
Gartner	The Gartner Group
GPEA	Government Paperwork Elimination Act
IDMS	Integrated Document Management System

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IRS	Internal Revenue Service
Mint	U.S. Mint
NARA	National Archives and Records Administration
OCC	Office of the Comptroller of the Currency
OIG	Office of Inspector General
OTS	Office of Thrift Supervision
PKI	Public Key Infrastructure
Secret Service	U.S. Secret Service
TACT	Treasury Automated Correspondence Tracking
TCMS	Treasury Control Management System
TIGTA	Treasury Inspector General for Tax Administration
Treasury	Department of the Treasury

*The Department of the Treasury
Office of Inspector General*

October 22, 2002

Edward R. Kingman, Jr.
Assistant Secretary for Management and
Chief Financial Officer

This report presents the results of our review of the Department of the Treasury's (Treasury) electronic document/records management system.¹ Integrated document management systems track the creation, location of documents, version control, workflow, and, ideally, manage documents during their complete life cycle based on the value of the document to the agency's business. Records management systems track the documents at the end of this cycle and help agencies preserve and disposition documents in a repository. The increasing reliance on computer networks in the government means that more documents are being created and stored on computers, and being transmitted electronically within and between agencies. Many documents spend their entire lifetime in electronic form.

Originally for this evaluation, we had planned to survey: (1) what manual and automated systems Treasury bureaus and Departmental Offices use to trace, prepare, and/or store documents; and (2) if systems owners ensure that documents, tracking data, and systems can be readily replaced if destroyed or operations were otherwise disrupted for a short or long period of time. However, as we were about to start our survey work, we learned the former Acting Assistant Secretary for Management and Chief Information Officer (ASM/CIO) had just completed an

¹ The capture and management of documents within an organization. In the past, the term referred to the management of documents after they were scanned into a computer. Today, the term more broadly refers to document imaging, workflow, text retrieval, and multimedia. The terms "document management" and "records management" are often used interchangeably, but are different.

overlapping survey of the bureaus about common business services, including document management systems.

We reviewed responses already provided to the former Acting ASM/CIO. While the survey responses did not fully answer our original objectives, in particular the objective regarding disruption to operations, we learned that the Department planned to develop a new Integrated Document Management System (IDMS). We therefore limited our review to assessing the status of IDMS efforts in consideration of the current and potential capabilities of the Treasury Control Management System (TCMS). We provide a more detailed description of our objective, scope, and methodology in Appendix 1. We plan to conduct future work more in line with our original objectives.

Background

Federal Guidelines

The Federal Records Act (44 United States Code Section 3101) requires Treasury to “make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions.”

The Government Paperwork Elimination Act (GPEA) (Public Law 105-277, Title XVII) requires that, when feasible, Treasury use electronic forms, electronic filing, electronic recordkeeping, and electronic signatures to conduct official business with the public by October 21, 2003. Agencies create records with business, legal, and, in some cases, historical value. This statute focuses on records management issues involving records that have been created using electronic signature technology.

At Treasury

Traditionally, Treasury has managed documents using manual or electronic database tracking systems. Treasury’s current standard for records management is the printed document.² One of the

² Records and Information Management Manual (TD P 80-05), June 2002, Ver. 1.1, pg. 27

promises of the Computer Age is the arrival of the “paperless” office, where information flows electronically from person to person.

GPEA requires Treasury to prepare for the management of electronic documents across the entire Department. Treasury generates many documents/records electronically, such as electronic mail (e-mail) messages, word processing documents, spreadsheets, graphs, databases, compact disks, and World Wide Web site pages. Additionally, electronic document/records management technology is changing rapidly, which can create software and hardware compatibility problems not just within the Treasury Department but also in the public sector. Furthermore, Treasury’s responsibilities are complicated by the decentralized nature of electronic records creation and control.

Document management systems, records management systems, and workflow systems differ in their perspective goals. Document management systems help create and store documents to include digitizing, indexing, storing, processing, and retrieving electronic objects. Records management systems maintain the authenticity and reliability of records and apply retention and disposition to records stored in the repository. Workflow systems control the flow of documents and thus, assist in the maintenance and use of documents to include the routes, rules, and roles for handling documents. Vendors have packaged document management systems, records management systems, and workflow systems into one package and call it an IDMS. The differences between these systems, however, can become blurred.

Treasury bureaus do not conform to a single uniform software or hardware infrastructure, which may complicate efforts to ensure electronic records are properly created, permanently maintained, secured, retrievable, and properly disposed of when appropriate. Bureaus often claim to have different technological needs and requirements, which they claim make common service systems with other bureaus an arduous proposition. Bureaus’ inherent desire to maintain their own internal controls, security, and accountability makes delegating this responsibility to a group outside of their organizations a challenge.

Treasury's Chief Information Officer (CIO) Council was formed to develop, implement, and promulgate a vision and direction for information resources and telecommunications management within Treasury. According to its charter, the CIO Council will take those actions necessary to identify emerging technologies (both information and telecommunications) that enhance the ability of Treasury, through its employees, to deliver service to its customers in a timely and cost-effective manner. The chair of the CIO Council is the Deputy Assistant Secretary for Information Systems and Chief Information Officer.

The events of September 11th have further demonstrated the benefits from an IDMS. Not only was physical evidence lost that day, but also lost were investigative case files, unique paper files, tax returns, and countless other confidential documents. The loss of these documents could have a profound impact on everything from international trade and Federal prosecutions of criminals to national security and defense.

Status Of Treasury's Efforts To Implement An IDMS

We learned that Treasury's current policy for records management is to maintain records in paper form. Inactive records are transferred to a Federal Records Center (FRC) for storage and disposition. In the event of a disaster, this form of records maintenance is highly volatile. The costs of electronic document/records management vary greatly. Nevertheless, the bureaus indicated the need for electronic document/record management systems but were unsure of which systems to acquire and at what cost.

In 1998, TCMS was created by the Treasury Department as a web-based correspondence management system. Users simply accessed the system through the intranet. However, Treasury management views it to be aging, becoming antiquated, and beginning to outlive its



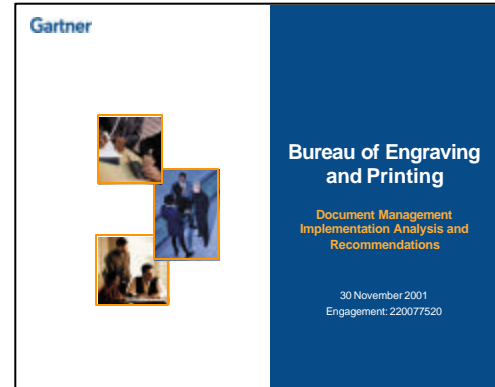
usefulness. In its current form, TCMS would not serve as a records management system because it does not meet National Archives and Records Administration (NARA) recordkeeping requirements or Department of Defense (DoD) 5015.2 certification as a records management system. TCMS does not preserve and disposition records in a central repository for eventual transfer to a FRC. Its "archive" button is a misnomer for records management purposes because it only saves records on the user's computer and not in a central repository. In essence, TCMS allows users to see the location of correspondence files.

In addition, to operate TCMS, there is a yearly user fee of \$15 per seat with a minimum of \$10,000 per year. The licensing for Lotus Notes Domino, the software program used to run TCMS, is entering its last year of a 3-year cost cycle totaling \$3.4 million. Because the Internal Revenue Service (IRS) has the predominant share of users, its 3-year total cost was \$2.9 million, with the rest of the bureaus sharing the remaining \$429,000 licensing fee.

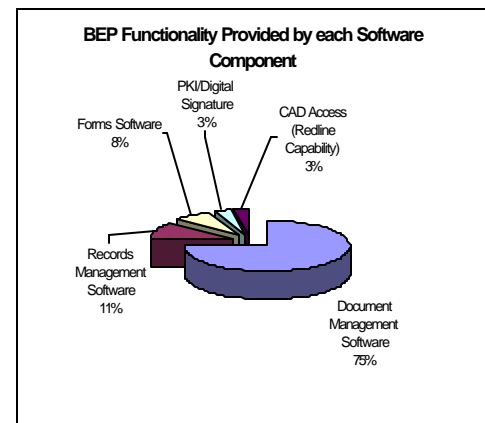
Initially, we were told that several bureaus were piloting or using TCMS. The TCMS project leader informed us the IRS, some offices within Departmental Offices (DO), and Treasury Inspector General for Tax Administration (TIGTA) were piloting TCMS. However, Bureau of Engraving and Printing (BEP), Bureau of the Public Debt (BPD), U.S. Mint (Mint), and U.S. Secret Service (Secret Service) had declined to use TCMS. Personnel at the other bureaus [U.S. Customs Service (Customs), Financial Crimes Enforcement Network (FinCEN), Financial Management Service (FMS), Office of the Comptroller of the Currency (OCC), and Office of Thrift Supervision (OTS)] have seen TCMS demonstrated, but have not decided whether or not to use it.

Later, we learned that the Office of CIO has decided that upgrading and making TCMS compliant is not cost effective due to declining numbers of registered users throughout Treasury. We were told that the IRS as well as other bureaus are pulling out of TCMS. Additionally, TCMS lacks the software or programs to meet NARA's statutory archiving requirements and DoD certification, and it is unscalable to be used Treasury-wide.

During January 2002, the Gartner Group (Gartner) presented its recommended document/record management system for BEP. The system included FileNET with ForeMost software as the document and records management application; Shana software for integrating e-forms; and Green Pastures as the system's architecture and engineering drawing application.



Gartner estimated that 86 percent³ of the day-to-day functionality of this new system would come from the document and records management component, (FileNet with ForeMost); 8 percent by e-forms; 3 percent by Public Key Infrastructure (PKI),⁴ and 3 percent by Computer-Aided Design (CAD).



Gartner did not provide any costs breakdown per application. However, Gartner estimates the BEP's 10-year cost cycle for the recommended system to be approximately \$17.5 million for approximately 1,500 users, which is almost \$1,170 per user prior to discounts that BEP would be entitled to.⁵

In 2001, the former Acting ASM/CIO inventoried automated systems across Treasury to identify enterprise solutions for the Department's common business services, including

³ The 86 percent equals records management software (11 percent) plus document management software (75 percent).

⁴ The policies and procedures for establishing a secure method for exchanging information within an organization, an industry, a nation, or worldwide. The heart of a PKI is the certificate authority, which issues digital certificates that authenticate people and organizations. The PKI includes the use of these certificates as well as digital signatures and all the Web browsers, e-mail programs, and other applications that support the process.

⁵ Per seat licensing is administered by providing user-level security to the directory containing the program. Software licensing based on a per user basis. For example, a 100-user license means that up to 100 specifically named users has access to the program.

document/record management systems, and to help the CIO Council work on common business areas. The accumulated information was to be presented to the Secretary of the Treasury and bureau heads.

The responses showed that ten bureaus/offices reported having an electronic document management and/or correspondence tracking system in place.

- ATF uses Correspond, PC Docs, and TCMS;
- BPD uses an Automated Correspondence Tracking System;
- DO uses the Treasury Automated Correspondence Tracking (TACT) System;
- Federal Law Enforcement Training Center (FLETC) uses FoxPro Database and TCMS;
- FMS, the Office of Inspector General (OIG), and TIGTA use TCMS;
- IRS use PC Docs, TCMS, FileNet Pilot, and Live Link Pilot;
- Mint uses Documentum; and
- Secret Service uses Xerox DocuShare.

Six bureaus/offices reported not having an electronic document management and/or correspondence tracking system in place: Community Development Financial Institutions Fund (CDFI), OCC, Customs, BEP, FinCEN, and OTS. Appendix 2 is an abstract from the 2001 Survey of Common Business Services Conducted by the former ASM/CIO.

Treasury recognizes the need for an up-to-date electronic document/records management system, and the CIO Council has formed a workgroup to research the needs and requirements of the bureaus and offices and to recommend an IDMS for Treasury-wide

implementation. While the workgroup may use the consultant's baseline as a starting point, they maintain the flexibility to change the recommendation depending on technological advances that may occur. The workgroup's goal is that the IDMS selected by the workgroup will be used by 80 percent of the bureaus and offices. However, the workgroup does not know if and when this implementation could take place.

Conclusion

We support Treasury's efforts to implement a department-wide IDMS. Two goals in the June 2001 Treasury e-Government Strategic Plan focus on the transition to a paperless environment and centralizing redundant systems in the Department. As the Department proceeds, we will assess the progress of IDMS as deemed appropriate.

* * * * *

We appreciate the cooperation and courtesies extended to our staff. If you have any questions, please contact me at (202) 927-5400 or a member of your staff may contact Inez Jordan, Acting Director, Office of Evaluations, at (202) 927-6835. Major contributors to this report are listed in Appendix 4.

Marla A. Freedman
Assistant Inspector General for Audit

Objectives

Originally for this evaluation, we had planned to conduct a survey to determine: (1) what manual and automated systems Treasury bureaus and Departmental Offices use to trace, prepare, and/or store documents; and (2) if systems owners ensure that documents, tracking data, and systems can be readily replaced if destroyed or operations were otherwise disrupted for a short or long period of time. However, as we were about to start our survey work, we learned the former Acting ASM/CIO had just completed an overlapping survey of common business services and that efforts were underway to identify and implement an IDMS department-wide. We therefore limited our work to reviewing responses already provided to the former Acting ASM/CIO and assessing the plans for a new system in consideration of the current and potential capabilities of TCMS. We plan to conduct future work more in line with our original objectives.

Scope

The scope included all Treasury offices and bureaus.

Methodology

We based the information presented in this evaluation report on the common business systems survey responses as well as five areas of work:

- 1) Review of applicable laws and regulations and pertinent Treasury directives and orders;
- 2) Attendance at the Gartner Group's presentation before the CIO Council on January 10, 2002, regarding the proposed best-fit, integrated electronic document/records management system;

- 3) Interviews with the Treasury Secure Data Network Project Manager and Lotus Notes developers from Customer Service Infrastructure and Operations, Office of the Chief Information Officer, regarding TCMS; and
- 4) Interviews with subject matter experts at ATF, BPD, Customs, DO, FLETC, FMS, IRS, Mint, and OCC.

Additional information was collected through July 2002 from interviews with the Senior Systems Analyst/Project Manager of Systems, the service managers from the Office of Customer Service Consulting, Office of IT Policy and Strategy, IT Policy and Records Management, Customer Service Infrastructure and Operations, and the Chief Information Officer for BEP.

Evaluation Standards

We conducted our work between January 2002 and July 2002 in accordance with the President's Council on Integrity and Efficiency Quality *Standards for Inspections*.

Appendix 2
Abstract from 2001 Survey of Common Business Services

Bureau	Electronic Document Management And Correspondence Tracking System	Email Services	Records Management Application (Yes/No)	Client Workstations and Web Browser Package(s)	Bureau FTE
ATF	Correspond, PC Docs, and TCMS Pilot	Microsoft Outlook	No	Windows 95, 98, NT 4.0, 2000 and Netscape	5,000
BEP	No	Microsoft Outlook	No	Windows NT 4.0 and Microsoft Internet Explorer	3,600
BPD	Automated Correspondence Tracking	Lotus Notes	No	Windows 95, NT 4.0, 2000 and Microsoft Internet Explorer	1,860
Customs	No	Lotus Notes	No	Windows NT 4.0 and Microsoft Internet Explorer	24,000
CDFI	No	Microsoft Outlook	No	Windows NT 4.0 and Microsoft Internet Explorer	150
DO	TACT	Microsoft Outlook and Lotus Notes	ForeMost Pilot (CIO)	Windows NT 4.0 and Microsoft Internet Explorer	1,800
FLETC	FoxPro Database and TCMS	BeyondMail 2.3 and Microsoft Outlook	No	Windows 95, 98, 98SE, NT 4.0, 2000 and Microsoft Internet Explorer and Netscape	609
FinCEN	No	Microsoft Outlook	No	Windows NT 4.0 and Microsoft Internet Explorer	170
FMS	TCMS	Microsoft Office and Lotus Notes	No	Windows NT 4.0 and Netscape	2,600
IRS	PC Docs, TCMS, FileNet Pilot, and Live Link Pilot	Microsoft Outlook and Lotus Notes	iRIMS Pilot	Windows NT 4.0 and Microsoft Internet Explorer	114,600
Mint	Documentum	Microsoft Outlook	No	Windows NT 4.0, 2000 and Microsoft Internet Explorer	2,900
OCC	No	Microsoft Outlook and Lotus Notes	No	Windows 95, NT 4.0, 2000 and Microsoft Internet Explorer	2,800
OIG	TCMS	Microsoft Outlook	No	Windows 95, 98, NT 4.0, 2000 and Microsoft Internet Explorer	300
OTS	No	Microsoft Outlook	TRIM	Windows 95, 98, NT 4.0 and Microsoft Internet Explorer	1,200
Secret Service	Xerox DocuShare	Novell Groupwise Client	No	Windows 98, NT 4.0 and Netscape	5,500
TIGTA	TCMS	Microsoft Outlook	No	Windows NT 4.0 and Microsoft Internet Explorer	1,000
TOTAL					167,189

Appendix 3
Management Response



DEPARTMENT OF THE TREASURY
WASHINGTON, D.C. 20220

OCT 16 2002

**MEMORANDUM FOR MARLA A. FREEDMAN
ASSISTANT INSPECTOR GENERAL FOR AUDIT
OFFICE OF THE INSPECTOR GENERAL**

FROM: Mayi Canales *Mayi Canales*
Acting Deputy Assistant Secretary (Information Systems)
and Chief Information Officer

SUBJECT: Response to Draft Report, Information Technology: Treasury's Efforts
To Implement An Integrated Document Management System

Thank you for the opportunity to review and comment on the draft informational report. We appreciate your staff scheduling the September 5 exit conference to discuss the new approach to the report.

I am especially pleased to see that your review endorses and recognizes the need for a Treasury-wide integrated document management system (IDMS). Your support on our efforts to implement an IDMS is encouraging. It is particularly encouraging since Assistant Secretary Kingman is committed to transitioning the Department to a paperless environment. We will continue to pursue this effort.

My staff has reviewed the draft report and we agree that it accurately reflects the collection of efforts we have taken. We have no substantive comments to the report, however, we suggest some corrections described in the attachment.

Once again, thank you for the opportunity to comment. If you require additional information, please telephone or email Gladys Myatt of my staff. Ms. Myatt can be reached on (202) 622-1524 or at gladys.myatt@do.treas.gov.

Attachment

cc: Joan Arnold, IT Services and Operations
Ron Falter, Bureau of Engraving and Printing

**Corrections to OIG Draft Informational Report
Information Technology: Treasury's Efforts To Implement An Integrated Document
Management System**

1. Page 1, Abbreviations

Delete the word 'Acting' after ASM/CIO.

2. Page 10, Conclusion

Delete the sentence 'Treasury mentioned the IDMS project in its Information Technology Strategic Plan 2000-2003 by highlighting a standard target architecture that will facilitate interoperability and document sharing across the Department.' **Replace** with 'Two goals in the June 2001 Treasury eGovernment Strategic Plan focus on the transition to a paperless environment and centralizing redundant systems in the Department.'

3. Page 12, Appendix 1

Third paragraph, fourth line should read '...Consulting, Office of IT Policy and Strategy, IT Policy and Records Management, Customer Service Infrastructure and Operations, and...'

Office of Inspector General

Adam D. Silverman, Assistant Inspector General for Management
Inez Jordan, Acting Director, Office of Evaluations
John Lemen, Supervisory Evaluator
Richard L. Albrecht, Evaluator

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Chief Information Officer
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OIG Budget Examiner